



State of Tennessee Department of Children's Services

Administrative Policies and Procedures: 10.2

Subject: Family Crisis Intervention Program Case File Review

Supersedes: None

Local Policy: No
Local Procedures: Yes
Training Required: No

Approved by:

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Application

To All Department of Children's Services Employees Working With The Family Crisis Intervention Program and All Community Services Agency Employees

Authority: TCA 37-5-106

Policy

A 25 percent sample of child case files shall be reviewed on a quarterly basis. Alternatively, a 10 percent sample can be reviewed on a monthly basis.

Procedures

A. Review Forms

1. Each region shall develop review forms that shall be used at the regional level to evaluate policy compliance and casework. Review forms shall include but not be limited to:
 - a) Items intended to help monitor procedural requirements to provide intervention services to unruly children and their families;
 - b) Timeliness and appropriateness of resolution plan;
 - c) Completion of required paper work including documentation in case notes;
 - d) Scheduling of family and child contacts;
 - e) Timeliness of case closure.
2. Each region's forms must be submitted to the Family Crisis Intervention Program Coordinator for approval. Scoring of

review forms shall yield a numerical score for each case manager or staff member responsible for a particular file.

B. Selection of Files

1. The Team Coordinator shall randomly select the files from the assignment log to be reviewed and may specify certain files that are to be reviewed in addition to the random sampling.
2. The files to be reviewed shall be selected from the pool of all assigned cases for the prior three months, with review periods being quarterly. Alternatively, a 10 percent sample shall be selected from two months prior to the current month. ***For example: a sample is pulled on the 5th day of April. The reviewer will look at cases assigned in the previous months of January, February, and March for a quarterly review or the month of February for a monthly review.***
3. The team coordinator shall inform the team leader or case manager of the cases to be reviewed by the 5th day of the month following the end of each period.

C. Case File Reviews

1. The case file review must be completed by a case manager 4 or supervising case manager 3. In the absence of a case manager 4 or 3, a Team Coordinator may review files. A case manager 3 may only review files if he/she is serving as supervisor of Family Crisis Intervention case managers.
2. A case manager 3 may not complete a file review of his/her own files.

**D. Tracking of Case
File Review**

1. Each region shall develop a method of providing the regional CSA executive director and the regional administrator with the following information:
 - a) The names of the cases reviewed;
 - b) The name of the case manager;
 - c) Outcomes of the reviews, and
 - d) Corrective action, if any, taken in regard to a specific case manager.

**E. Reviewer's
responsibilities**

2. The Regional Administrator may include a summary of the case file review activities in the region in his/her report.

1. The reviewer must complete the appropriate file review instrument for each case chosen during the random selection of files.

2. In completing each review, the reviewer shall look at the TN KIDS file as well as any paper documentation.

3. A case may be selected for review even though it has been an active case for a portion of the month. Even though a case may have been recently transferred to a case manager, the file review must encompass the entire file if the case has been assigned during the preceding quarter.

4. Notations should be made in the comments section of the review form that would clearly indicate the portion of the review period for which the current case manager was not responsible.

5. Scores shall not be adversely affected by what another case manager should have done. However, with the exception of supervision issues that cannot be remedied, the new case manager shall be expected to bring the case file into compliance with all standards.

6. Case file documentation regarding interviews, home visits, court hearings, etc., must be compared to the case managers' weekly itinerary or activity report. It is not necessary that all case documentation be verified against the weekly itinerary or activity report but a sufficient number of comparisons must be made to provide reasonable assurance that the case documentation accurately reflects the case manager's activity.

7. It is also expected that supervisors must contact some parents, collaterals and agency staff to verify contacts, home visits, and interviews.

8. If a specific contact has been verified as stated above, that verification must be noted in the comments section of the case file review form.

9. Case file information must also be compared to the information contained in computer databases such as TN KIDS.

**F. Performance
rating**

1. The following scores must be used to determine the performance rating for the categories of supervision and documentation and for the total compliance rating for the file review:

<u>Score</u>	<u>Performance Rating</u>
93 – 100 - 5	Exceptional
85 – 92 - 4	Superior
77 – 84 - 3	Good
70 – 76 - 2	Marginal
Below 70 - 1	Unacceptable

2. If a marginal or unacceptable rating is given to a case manager after a 25 percent random file review, the reviewer must then randomly select and review another 10 percent of the case files.
3. If the rating continues to be marginal or an unacceptable score, the remaining files may be reviewed at the discretion of the Team Coordinator.

**G. Conclusion of
case file review**

1. At the conclusion of the file review, the reviewer must discuss the findings with the case manager and provide the case manager with a copy of the completed review instrument. The discussion must include the strengths and deficiencies found in the review.
2. If a marginal or unacceptable is earned, a corrective action plan with the case manager must be developed.
3. Corrective action plans shall be discussed with team leaders and team coordinators and shall be written into the comments section of the review forms.
4. Ten (10) working days shall be given to allow for correction of case file deficiencies. Case files must then be reviewed again to ensure that all case file documentation issues have been addressed.
5. If the review identifies deficiencies in timeliness of providing intervention services to children and their families, this shall result in disciplinary action and

ongoing review of case files by the supervisor.

6. Progressive disciplinary action must continue until all correctable items are brought up to standards. If disciplinary action is necessary, it shall be in accordance with all Department of Personnel guidelines and shall be documented in accordance with those guidelines.

Forms

None

Collateral Documents

None

Standards

None